

17157 U.S. PTO  
031904

Attorney's Docket No.: UC03-084-3

22857 U.S. PTO  
10/804814

031904

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

MAIL STOP PATENT APPLICATION  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22213-1450

NEW APPLICATION TRANSMITTAL

Transmitted herewith for filing is the patent application of Inventor(s):

ANDREW A. FRANK; THOMAS DREUMONT

For (title):

METHOD AND SYSTEM FOR CONTROLLING RATE OF CHANGE OF RATIO  
IN A CONTINUOUSLY VARIABLE TRANSMISSION

1. Type of Application

(check all applicable)

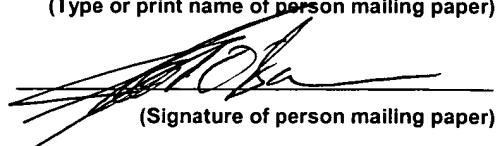
Utility  
 Design  
 Plant  
 Divisional  
 Continuation  
 Continuation of PCT designating US  
 Continuation-in-part (CIP)

CERTIFICATION UNDER 37 CFR 1.10

I hereby certify that this New Application Transmittal and the documents referred to as enclosed therein are being deposited with the United States Postal Service on this date 19 MARCH 2004 in an envelope as "Express Mail Post Office to Addressee" Mailing Label Number EV352303416US addressed to the: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

John P. O'Banion

(Type or print name of person mailing paper)



(Signature of person mailing paper)

NOTE: Each paper or fee referred to as enclosed herein has the number of the "Express Mail" label placed thereon prior to mailing. 37 CFR 1.10(b).

**2. Papers Enclosed Which Are Required For Filing Date Under 37 CFR 1.53(b) (Regular) or 37 CFR 1.153 (Design) Application**

49 Pages of specification

9 Pages of claims

1 Pages of Abstract

27 Sheets of drawing

formal

informal

— The enclosed drawing(s) include photograph(s), and there is also attached a "PETITION TO ACCEPT PHOTOGRAPH(S) AS DRAWING(S)." 37 C.F.R. 1.84(b).

**3. Additional papers enclosed**

Preliminary Amendment

Information Disclosure Statement

Form PTO - 1449

Citations

Authorization of Attorney(s) to Accept and Follow Instructions from Representative

Special Comments

Other (SPECIFY)

**4. Declaration Or Oath**

Enclosed

executed by:

inventor(s)

Copy from a prior application (37 CFR 1.63(d)) (divisional or continuation only)

Not Enclosed. Application is made by a person authorized under 37 CFR 1.41(c) on Behalf of all of the above named inventor(s).

(The declaration or oath, along with the surcharge required by 37 CFR 1.16(e) can be filed subsequently).

5. **Inventorship Statement**

The inventorship for all the claims in this application are:

The same  
or

— Are not the same. An explanation, including the ownership of the various claims at the time the last claimed invention was made,  
— is submitted.  
— will be submitted.

6. **Language**

English  
— non-English  
— the attached translation is a verified translation. 37 CFR 1.52(d).

7. **Assignment**

An assignment of the invention to: THE REGENTS OF THE UNIVERSITY OF CALIFORNIA  
— is attached. A separate "ASSIGNMENT COVER LETTER ACCOMPANYING NEW PATENT APPLICATION" is also attached.

will follow.

8. **Benefit of Prior U.S. Application(s) (35 U.S.C. 119(e), 120 or 121)**

Applicant(s) hereby claim(s) the benefit of the filing date of the following prior U.S. Application(s):

(a) Application History (title as originally filed and as last amended, serial number, and filing date of all prior applications):

Title: METHOD AND SYSTEM FOR CONTROLLING RATE OF CHANGE OF RATIO IN A CONTINUOUSLY VARIABLE TRANSMISSION  
Ser. No.: 60/456,226  
Filed: 03/19/2003

Name of applicant(s) (as originally filed and as last amended), and current correspondence address of applicant(s):

Name: ANDREW A. FRANK  
Address: 3114 MERCED DRIVE  
DAVIS, CA 95616

(b) Application History (title as originally filed and as last amended, serial number, and filing date of all prior applications):

Title: METHOD AND APPARATUS FOR OPTIMIZING PRESSURE IN A CONTINUOUSLY VARIABLE TRANSMISSION  
Ser. No.: 60/457,453  
Filed: 03/24/2003

Name of applicant(s) (as originally filed and as last amended), and current correspondence address of applicant(s):

Name: ANDREW A. FRANK  
Address: 3114 MERCED DRIVE  
DAVIS, CA 95616

**9. Fee Calculation (37 CFR 1.16)**

**A. X Regular Application**

CLAIMS AS FILED						
	Number filed		Number Extra		Rate	Basic Fee
Total						\$ 770
Claims 37 CFR 1.16(c)	26	- 20	= 6	X	\$18	= 108
Independent						
Claims (37 CFR 1.16(b))	14	- 3	= 11	X	\$86	= 946
Multiple dependent claim(s), if any (37 CFR 1.16(d))				+	\$290	=

X Amendment canceling extra claims enclosed.  
— Amendment deleting multiple-dependencies enclosed.  
— Fee for extra claims is not being paid at this time.

Filing Fee Calculation \$ 1824

**B. — Design application  
(\$340.00 - 37 CFR 1.16(f))**

Filing Fee Calculation \$                   

**C. — Plant application  
(\$530.00 - 37 CFR 1.16(g))**

Filing Fee Calculation \$                   

**10. Small Entity Statement**

X Applicant qualifies as a small entity under 37 CFR 1.9 and 1.27

Filing Fee Calculation (50% of **A, B or C** above) \$ 912

**11. Fee Payment Being Made At This Time**

Not Enclosed

No filing fee is to be paid at this time. (This and the surcharge required by 37 CFR 1.16(e) can/will be paid subsequently.)

Enclosed

<input type="checkbox"/> basic filing fee	\$ _____
<input type="checkbox"/> recording assignment (\$40.00; 37 CFR 1.21(h))	\$ _____
<input type="checkbox"/> petition fee for filing by other than all the inventors or person on behalf of the inventor where inventor refused to sign or cannot be reached. (\$130.00; 37 CFR 1.47 and 1.17(h))	\$ _____
<input type="checkbox"/> for processing an application with a specification in a non-English language. (\$130.00; 37 CFR 1.52(d) and 1.17(k))	\$ _____
<input type="checkbox"/> processing and retention fee (\$130.00; 37 CFR 1.53(d) and 1.21(l))	\$ _____
<input type="checkbox"/> fee for international-type search report. (\$40.00; 37 CFR 1.21(e))	\$ _____
 Total Fees Enclosed	
	\$ _____

**12. Method of Payment of Fees**

Check in the amount of \$ \_\_\_\_\_

Charge Account No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_.  
A duplicate of this transmittal is attached.

**13. Instructions As To Overpayment**

credit Account No. \_\_\_\_\_

refund

**14. Incorporation By Reference of Papers Identified Herein**

Applicant(s) hereby incorporate(s) by reference all papers which are identified in this New Application Transmittal.

15. **Correspondence Address**

**Please use the following correspondence address for all communications:**

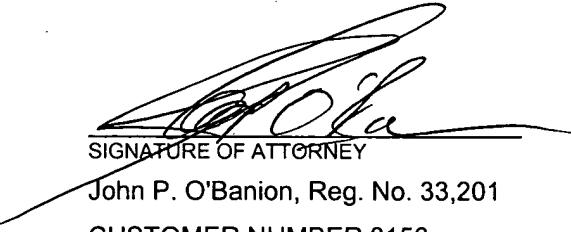
**CUSTOMER NUMBER 8156**

**John P. O'Banion, Reg. No. 33,201  
O'BANION & RITCHEY LLP  
400 Capitol Mall, Suite 1550  
Sacramento, CA 95814  
(916) 498-1010**

16. **Signature of Attorney**

Dated:

3/19/2009

  
SIGNATURE OF ATTORNEY

John P. O'Banion, Reg. No. 33,201  
CUSTOMER NUMBER 8156

**CERTIFICATION UNDER 37 CFR 1.10**

I hereby certify that the foregoing:

## PCT International Application

1. Description (pages 1-49)
2. Claims (pages 50-58)
3. Abstract (page 59)
4. Drawings (sheets 1-27)

is being deposited with the United States Postal Service on 19 MARCH 2004 in an envelope as "Express Mail Post Office to Addressee" Mailing Label Number EV352303416US addressed to the: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

JOHN P. O'BANION

**(Type or print name of person mailing paper)**

(Signature of person mailing paper)

**CERTIFICATION UNDER 37 CFR 1.10**

I hereby certify that the foregoing:

First Preliminary Amendment

is being deposited with the United States Postal Service on 19 MARCH 2004 in an envelope as "Express Mail Post Office to Addressee" Mailing Label Number EV352303416US addressed to the: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

JOHN P. O'BANION

(Type or print name of person mailing paper)

  
(Signature of person mailing paper)